

(19) World Intellectual Property Organization  
International Bureau(43) International Publication Date  
8 August 2002 (08.08.2002)

PCT

(10) International Publication Number  
**WO 02/061544 A2**(51) International Patent Classification<sup>7</sup>:**G06F**

**MILLAR, Sharon, A.**; 362 Valley Road, Dawsonville, GA 30534 (US). **NESFEDER, David, Gerald, Jr.**; 3835 Shiloh Ridge Run, Suwanee, GA 30024 (US). **SINGER, Christopher, S.**; 2972 Lowrance Drive, Decatur, GA 30033 (US).

(21) International Application Number:

PCT/US02/02917

(74) Agents: **NEUFELD, Robert, T.** et al.; King & Spalding, 191 Peachtree Street, Atlanta, GA 30303-1763 (US).

(22) International Filing Date: 31 January 2002 (31.01.2002)

(81) Designated States (*national*): AE, AG, AL, AM, AT, AU,

(25) Filing Language:

English

AZ, BA, BB, BG, BR, BY, BZ, CA, CH, CN, CO, CR, CU,

(26) Publication Language:

English

CZ, DE, DK, DM, DZ, EC, EE, ES, FI, GB, GD, GE, GH,

(30) Priority Data:

GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC,

60/265,519 31 January 2001 (31.01.2001) US

LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW,

(71) Applicant: INTERNET SECURITY SYSTEMS, INC.

MX, MZ, NO, NZ, OM, PH, PL, PT, RO, RU, SD, SE, SG,

[US/US]; 6303 Barfield Road, Atlanta, GA 30328 (US).

SI, SK, SL, TJ, TM, TN, TR, TT, TZ, UA, UG, UZ, VN,

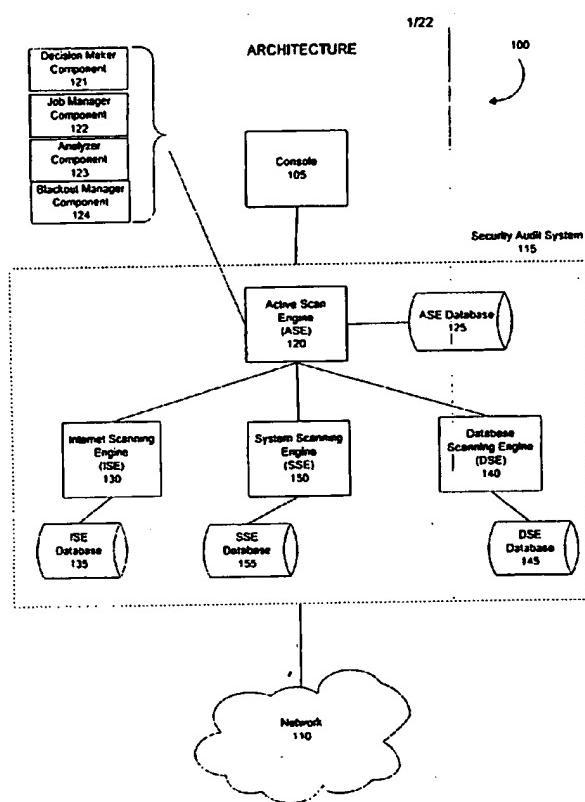
(72) Inventors: **ZOBEL, Robert, David**; 1212 Spring Creek Lane, Atlanta, GA 30350 (US). **DODD, Timothy, David**; 2126 Brownings Trace, Tucker, GA 30084-4628 (US).

YU, ZA, ZM, ZW.

(84) Designated States (*regional*): ARIPO patent (GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZM, ZW).

[Continued on next page]

(54) Title: METHOD AND SYSTEM FOR CONFIGURING AND SCHEDULING SECURITY AUDITS OF A COMPUTER NETWORK



(57) Abstract: Managing the selection and scheduling of security audits run on a computing network. The computer network is surveyed by a security audit system to determine the function and relative importance of the elements in the network. Based on function and priority, a more thorough type of security audit is selected to run against each of the network elements by the security audit system. The security audit can also be automatically scheduled based on the information gathered from the survey. Once the system runs the security audit, a vulnerability assessment can be calculated for each element in the network. The vulnerability assessment can be presented in a format that facilitates interpretation and response by someone operating the system. The vulnerability assessment can also be used to configure and schedule future security audits.



Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM). European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE, TR). OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GQ, GW, ML, MR, NE, SN, TD, TG).

*For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.*

**Published:**

- *without international search report and to be republished upon receipt of that report*

## METHOD AND SYSTEM FOR CONFIGURING AND SCHEDULING SECURITY AUDITS OF A COMPUTER NETWORK

### PRIORITY AND RELATED APPLICATIONS

The present application claims priority to provisional patent application entitled, "Method and System for Configuring and Scheduling Security Audits of a Computer Network," filed on January 31, 2001 and assigned U.S. Application Serial Number 60/265,519. The present application also references and incorporates herein a related U.S. non-provisional patent application entitled, "Method and System for Calculating Risk Associated with a Security Audit," filed concurrently herewith and having attorney docket number 05456.105036.

### TECHNICAL FIELD

The present invention is generally directed to managing the security of a network. More specifically, the present invention facilitates the configuration and scheduling of security audits of machines in a distributed computer network.

### BACKGROUND OF THE INVENTION

The security of computing networks is an increasingly important issue. With the growth of wide area networks (WANs), such as the Internet and the World Wide Web, people rely on computing networks to transfer and store an increasing amount of valuable information. This is also true of local area networks (LANs) used by companies, schools, organizations, and other enterprises. LANs are used by a bounded group of people in the organization to communicate and store electronic documents and information. LANs typically are coupled to or provide access to other local or wide area networks. Greater use and availability of computing networks produces a corresponding increase in the size and complexity of computing networks.

With the growth of networks and the importance of information available on the networks, there is also a need for better and more intelligent security. One approach to securing larger and more complex computer networks is to use a greater number and variety of security assessment devices. Security assessment devices can be used to evaluate elements in the network such as desktop computers, servers, and routers, and determine their respective vulnerability to attack from hackers. These network elements are commonly referred to as hosts

and the terms "element" and "host" are used interchangeably herein. Security assessment devices can also be used more frequently to monitor the activity or status of the elements in a computing network.

One problem with increasing the number of security assessment devices and the frequency with which they are used is deciding which elements in the network need to be audited, how frequently they should be audited, and what checks need to be run. These are decisions that often involve a variety of complicated factors and they are decisions that in practicality cannot be made every time a security audit is conducted. Increased assessment also produces a corresponding increase in the amount of security data that must be analyzed. A network administrator that is overwhelmed with security data is unable to make intelligent decisions about which security vulnerabilities should be addressed first.

An additional problem associated with maintaining adequate network security is finding the time to conduct security audits. Security audits generally must be initiated by a security professional and can hinder or entirely interrupt network performance for several hours at a time. Furthermore, existing security assessment devices typically perform a variety of security scans on a machine, some of which may not be necessary. These unnecessary scans can translate into additional "down time" for the network.

In view of the foregoing, there is a need in the art for a system which will support the auditing of a distributed computing network. Specifically, a need exists to be able to automatically survey a network and determine the role and value of each element in the network. A further need exists to be able to assess the vulnerability of each element in the network. There is also a need to automatically schedule security auditing based on the vulnerability assessment of each element and to adjust future scheduling as audit data change. In this manner, those elements deemed to have the greatest risk can be monitored more closely. Finally, a need exists to be able to manage and present data pertaining to the survey, the vulnerability assessment, and the scheduling in a convenient graphical format.

## SUMMARY OF THE INVENTION

The present invention satisfies the above-described needs by providing a system and method for scheduling and performing security audits in a distributed computing environment. Assessing the security of a relatively large or complex computer network can require hundreds

of decisions about the types and timing of security checks. By facilitating the selection and scheduling of security audits, the present invention improves existing network security techniques. The present invention can identify the various elements in a distributed computing network and determine their role and relative importance. Using an element's role and relative importance, a more thorough security audit is chosen and scheduled to be run at an appropriate time. Information from the security audit can be used to calculate a security score and to modify the type and scheduling of future security audits. Security audit information can also be prioritized and presented to a user in a convenient format.

In one aspect, the present invention comprises a method for configuring and scheduling security scans of a computer network. A security audit system can conduct a discovery scan to identify elements that exist in a distributed computing network. Elements typically identified include, but are not limited to, desktop computers, servers, routers, and data storage devices. From the information collected during the discovery scan, the security audit system can determine the operating system and/or services associated with an element. The element's function and importance in the network can be used to configure an audit scan. An audit scan is a more thorough examination than a discovery scan and different types of audit scans involve different types of checks. The security audit system can schedule the selected audit scan to run at a time that will not interrupt the normal functioning of the computer network. The information collected during the audit scan can be used by the security audit system to calculate a security score for each element or group of elements. A security score is useful for identifying and prioritizing vulnerabilities that need to be remedied in the network.

In another aspect, the present invention provides a method for assessing the security of a network using a security audit system. The security audit system can receive information about elements in the network from an initial scan of the network. Using the information, the security audit system can select a more thorough audit scan to perform on a particular network. The selection of the audit scan can be based on the types of checks that need to be made on a particular element. The security audit system can also schedule the audit scan based on information collected during the initial scan. An element with greater importance or more serious vulnerabilities can be scanned more frequently than other elements in the network. Once the audit scan is performed, the security audit system receives more detailed information about

the element and a security score can be computed for the element. The security score is useful in assessing the security of the network and prioritizing issues that need to be addressed.

For yet another aspect, the present invention further provides a security audit system for configuring and scheduling security scans of a computer network. The system comprises various types of scanning engines for running different scans and an active scan engine for coordinating the selection and scheduling of the different scans. The security audit system can conduct an initial scan to assess the functions and importance of various elements in the network. The initial scan provides information for deciding when to perform a more thorough audit scan and what type of audit scan to select. A console can also be coupled to the system for communicating information concerning the scans between a user and the security audit system.

These and other aspects of the invention will be described below in connection with the drawing set and the appended specification and claim set.

#### BRIEF DESCRIPTION OF THE DRAWINGS

FIG. 1 is a block diagram illustrating an exemplary architecture for operating an embodiment of the present invention.

FIG. 2 is a block diagram illustrating an exemplary data flow for a security audit system.

FIG. 3 is a logic flow diagram illustrating an overview of the operating steps performed by a security audit system in accordance with an exemplary embodiment of the present invention.

FIG. 4 is a logic flow diagram illustrating an exemplary process for initializing a scheduling module within a security audit system.

FIG. 5 is a logic flow diagram illustrating an exemplary process for recovering prior data within a security audit system.

FIG. 6A is a logic flow diagram illustrating an exemplary process for configuring scans with a security audit system.

FIGs. 6B, 6C, and 6D are exemplary tables associated with configuring scans.

FIG. 7 is a logic flow diagram illustrating an exemplary process for scheduling scans with a security audit system.

FIG. 8 is a logic flow diagram illustrating an exemplary process for scheduling specific scan jobs with a security audit system.

FIG. 9 is a logic flow diagram illustrating an exemplary process for scheduling an audit scan with a security audit system.

FIG. 10 is a logic flow diagram illustrating an exemplary process for running security scans with a security audit system.

FIG. 11 is a logic flow diagram illustrating an exemplary process for analyzing scan results with a security audit system.

FIG. 12 is a logic flow diagram illustrating an exemplary process for populating a host's Scan Configuration record with a security audit system.

FIG. 13 is a logic flow diagram illustrating an exemplary process for computing a host's asset value with a security audit system.

FIG. 14 is a logic flow diagram illustrating an exemplary process for computing a host's role with a security audit system.

FIG. 15 is a logic flow diagram illustrating an exemplary process for processing vulnerabilities found on a host with a security audit system.

FIG. 16 is a logic flow diagram illustrating an exemplary process for updating vulnerability state and history tables with a security audit system.

FIG. 17 is a logic flow diagram illustrating an exemplary process for processing running services found on a host with a security audit system.

FIG. 18 is a logic flow diagram illustrating an exemplary process for updating service state and history tables with a security audit system.

FIG. 19 is a logic flow diagram illustrating an exemplary process for processing a host's security score with a security audit system.

FIG. 20 is a logic flow diagram illustrating an exemplary process for updating a host's security score with a security audit system.

FIG. 21 is a logic flow diagram illustrating an exemplary process for shutting down a security audit system.

#### **DETAILED DESCRIPTION OF THE EXEMPLARY EMBODIMENTS**

The present invention supports the automated assessment of the security risks of a computing network. Specifically, the present invention allows a security auditing system to collect initial information about the identity and importance of elements in a computing network.

Using this initial information, the invention then provides for automatic selection and scheduling of security audit scans to be performed on the network elements. A user can provide parameters, if so desired, as to when to schedule audit scans and what types of audit scans to run. Taking the information collected from the audit scan, the auditing system can compute a security score for a network element based on its vulnerability and importance. The security score can be presented to the user in a manageable format to facilitate interpretation and response. The user may use the security score as a basis for adjusting the scheduling and configuration of future audit scans.

Although the exemplary embodiments will be generally described in the context of software modules running in a distributed computing environment, those skilled in the art will recognize that the present invention also can be implemented in conjunction with other program modules for other types of computers. In a distributed computing environment, program modules may be physically located in different local and remote memory storage devices. Execution of the program modules may occur locally in a stand-alone manner or remotely in a client/server manner. Examples of such distributed computing environments include local area networks of an office, enterprise-wide computer networks, and the global Internet.

The detailed description that follows is represented largely in terms of processes and symbolic representations of operations in a distributed computing environment by conventional computer components, including database servers, application servers, mail servers, routers, security devices, firewalls, clients, workstations, memory storage devices, display devices and input devices. Each of these conventional distributed computing components is accessible via a communications network, such as a wide area network or local area network.

The processes and operations performed by the computer include the manipulation of signals by a client or server and the maintenance of these signals within data structures resident in one or more of the local or remote memory storage devices. Such data structures impose a physical organization upon the collection of data stored within a memory storage device and represent specific electrical or magnetic elements. These symbolic representations are the means used by those skilled in the art of computer programming and computer construction to most effectively convey teachings and discoveries to others skilled in the art.

The present invention also includes a computer program that embodies the functions described herein and illustrated in the appended flow charts. However, it should be apparent that there could be many different ways of implementing the invention in computer programming,

and the invention should not be construed as limited to any one set of computer program instructions. Further, a skilled programmer would be able to write such a computer program to implement the disclosed invention based on the flow charts and associated description in the application text, for example. Therefore, disclosure of a particular set of program code instructions is not considered necessary for an adequate understanding of how to make and use the invention. The inventive functionality of the claimed computer program will be explained in more detail in the following description in conjunction with the remaining figures illustrating the program flow.

Referring now to the drawings, in which like numerals represent like elements throughout the several figures, aspects of the present invention and the preferred operating environment will be described.

Fig. 1 illustrates various aspects of an exemplary computing environment in which an embodiment of the present invention is designed to operate. Those skilled in the art will appreciate that Fig. 1 and the associated discussion are intended to provide a brief, general description of the computer network resources in a representative distributed computer environment including the inventive security audit system. The architecture comprises a console 105 and a security audit system 115 which are used to configure and schedule security audits of a network 110. The console 105 communicates information about the current security state of the network 110 to a user. The console 105 typically comprises a graphical user interface for presenting and managing data in a convenient format for the user. The console 105 is also operable for receiving information from the security audit system 115 and allowing control of the security audit system 115. The security audit system 115 comprises an active scan engine 120 and one or more other scan engines. In the exemplary embodiment illustrated in Fig. 1, the active scan engine 120 is coupled to an Internet scanning engine 130, a system scanning engine 150, and a database scanning engine 140. Each of these scan engines illustrated in Fig. 1 is coupled to a corresponding database.

The active scan engine's 120 primary task is acquiring and maintaining current data about the configuration and security posture of the network 110. The active scan engine 120 utilizes the subsidiary scan engines 130, 140 and 150 as a means for gathering information about the network 110. The network 110 typically comprises elements such as desktop computers, routers, and various servers. The active scan engine 120 is responsible for coordinating the

configuration, scheduling, and running of scans of these elements found in the network 110. Typically, the active scan engine 120 is continuously running so that the scheduled scans can be run at their designated times, and the resultant data processed in a timely manner.

Fig. 2 illustrates a flow chart diagram of an exemplary flow of data for an embodiment of the present invention. Beginning with the user input 205, this represents data that a user may input at the console 105 to be used by the security audit system 115 in configuring and scheduling scans. User input data 205 can include a specific network range in which to conduct scans, fixed asset and vulnerability values, and blackout periods during which security scans should not be run. The user input 205 is combined with data recovered by the discovery scan 210. The discovery scan is an initial scan of the network 110 run by the security audit system 115. The discovery scan is used to identify the elements on the network 110 and to assign asset values to them. An asset value is typically an arbitrary value assigned based on the importance of an element relative to other elements in a network. By identifying the function and asset value of each element on the network, the security audit system 115 can configure and schedule further scans to run on the network 110.

The user input 205 and the discovery scan data 210 are combined to formulate state data 215 describing each of the elements in the network 110. In step 220, the active scan engine 120 makes decisions regarding the types of scans to be run and when they will be run on the network 110. Ultimately, scheduled audit scans will be run against each of the elements on the network 110 in step 225. The audit scan involves a more thorough examination of a network element than the discovery scan. The audit scan data 230 is collected and fed back into the accumulated state data 215 describing each element on the network 110. The feedback mechanism shown in Fig. 2 enables the security audit system 115 to adjust the configuring and scheduling of future audit scans. The exemplary method illustrated in Fig. 2 allows the most important or most vulnerable elements of the network 110 to be given the highest priority in conducting security audits.

An exemplary process overview for operating the security audit system 115 is illustrated in Fig. 3. When the security audit system 115 first starts up, a scheduling module with the active scan engine 120 is initialized as shown in step 305 of Fig. 3. The initialization process involves adjusting several modules, which will be discussed in connection with Fig. 4. In step 310, the active scan engine 120 recovers prior data from previous incompletely processed scans. The

need to recover prior data results from the active scan engine 120 being shut down when there are scan results pending processing. When a shutdown occurs, any data necessary to recover the current state of the active scan engine 120 is saved to the ASE database 125. Upon startup, the active scan engine 120 recovers and processes any incompletely analyzed data as further illustrated in Fig 5.

In step 315, the active scan engine 120 configures the scans that are to be run on the network 110. The configuring of scans, discussed in greater detail in connection with Fig. 6, involves determining the type of scan to run on a network host based on its function and asset value. Once it is decided what type of scans will be run in step 315, the active scan engine 120 chooses when to conduct scans on network elements in step 320. The security audit system 115 can make many of the configuration and scheduling decisions that would ordinarily have to be made by the user.

In step 325, the security audit system 115 runs the scheduled scans on the network 110. The first time that a security audit system 115 scans the network 110 it will conduct a discovery scan to identify network elements and their function. The discovery scan collects information for use in subsequent configuring and scheduling of more thorough audit scans. After these scans are performed, the active scan engine 120 analyzes the data that are collected in step 330. The analysis of the data can be used to readjust the configurations and scheduling of scans by returning to step 315. Alternatively, the user can shut down the security audit system 115 in step 340. The security audit system 115 performs tasks asynchronously from the user's perspective. When engaged in a potentially time-consuming task such as the analysis of scan results (step 330), the active component periodically checks for a user-initiated shutdown signal. This allows the security audit system 115 to shut down in a timely manner even when engaged in lengthy tasks. As mentioned above, if a shutdown occurs when the security audit system 115 is engaged upon one or more tasks, sufficient state information is stored to allow for recovery upon reactivation. The foregoing steps are merely an exemplary embodiment of how to use the security audit system 115. In an alternative embodiment of the invention, the foregoing steps may be performed in a different order or certain steps may be skipped entirely.

Fig. 4 illustrates an exemplary method for initializing the active scan engine 120. In step 405, the active scan engine 120 loads the scan blackout schedule, initializing the blackout manager 124. The scan blackout schedule contains time periods during which scans are not to be

performed on the network 110. The scan blackout schedule is typically determined by a user and entered using the console 105. In step 410, the various scanners 130, 140, and 150 are initialized so they will be ready to perform scans on the network 110. The exemplary embodiment described herein discusses three types of scanning engines that can be used to perform a security audit on a network. An alternative embodiment of the present invention may employ a selected subset of these scan engines or other types of scan engines.

The Internet scanning engine 130 is a network scanning tool used to conduct the initial discovery scans performed on the network. The Internet scanning engine 130 can also be used to identify security vulnerabilities that exist across an entire network. The database scanning engine 140 performs audits of database servers identified by the Internet scanning engine 130 during the discovery scan. The system scanning engine 150 is a security auditing tool comprising software that is generally installed on individual hosts in the network. The system scanning engine 150 is typically installed on desktop computers, servers, and routers that have at least a specific asset value. Because they execute on the local host, the system scanning engine 150 is able to detect vulnerabilities that may be unidentifiable by the Internet scanning engine 130. The active scan engine 120 works with the system scanning engine 150 to configure and schedule particular scans to be run on network elements.

In steps 415, 420, and 425, components of the active scan engine 120 are initialized in preparation for conducting scans. Identified in step 415, the decision maker component 121 receives the results of prior audit and discovery scans and determines which audit scans to run on which elements and when to run them. The job manager component 122, initialized in step 420, receives instructions from the decision maker component 121 and monitors what audit scans have been scheduled, when the audit scans have been scheduled, and whether the audit scans are complete. Finally, in step 425 the analyzer component 123 is initialized so that it can receive and store the results of audit scans such as a network element's functions and vulnerabilities. In alternative embodiments of the present invention, the functions performed by the analyzer component 123, the decision maker component 121, the blackout manager 124, and the job manager component 122 can be performed by other components separate from the active scan engine 120.

Fig. 5. illustrates an exemplary means for recovering prior data as referred to in step 310 of Fig. 3. The purpose of this step is to continue scanning, analysis, or decision-making work

that was interrupted during a previous shut down of the security audit system 115. In step 505, analysis is completed of any remaining hosts in the network 110 that have not already been analyzed. In step 510, the active scan engine 120 checks for a user-initiated shutdown of the security audit system 115, or proceeds to step 515 to analyze data remaining from any unprocessed scan jobs. After the prior data has been recovered, the active scan engine 120 once again checks for a user-signaled shutdown in step 520. If a shutdown has been initiated, the active scan engine 120 shuts down; otherwise, it returns to step 315 for adjusting or configuring new scans.

An exemplary method for configuring scans is illustrated in Figs. 6A and the accompanying exemplary tables. The first time the security audit system 115 runs on a network 110, a scan configuration table can be created after a discovery scan is performed. Subsequently, the active scan engine 120 stores the scan configuration table and, with each new scan, the table can be updated. Referring to Fig. 6A, in step 605 the active scan engine 120 determines if the decision maker 121 is due to be executed. The decision maker 121 runs periodically, or when a discovery scan finds previously unknown hosts on the network 110. In step 610, the decision maker 121 opens the scan configuration table in the ASE database 125. As shown in an exemplary table in Fig 6D, the scan configuration table contains the necessary information for configuring and scheduling scans of all known hosts. In step 615, the decision maker 121 reads a host's scan configuration record and, in step 620, the decision maker 121 examines the host's scan configuration record. In step 625, if the host is due for an audit scan, the host is added to the set of hosts to be scanned with the scan policy indicated in the scan configuration record. The decision maker 121 checks for a user-initiated shutdown in step 630, and proceeds to shut down if so indicated. Otherwise, in step 635 the decision maker 121 checks for more host scan configuration records. If there are more records to read, the process 315 returns to step 615, and is repeated with the next record. If there are no records remaining to be processed, the decision maker 121 resets itself in step 640. This step involves setting parameters governing the next periodic run of the decision maker 121.

The type of scan that is run on each host for an element in the network 110 can be selected manually by the user or done automatically by the active scan engine 120. The advantage of automating the scan configuration is that there are often numerous elements to scan in a network and hundreds of possible scanning checks that can be performed on each element.

By automating the process, configuring and scheduling scans of each element of the network can be performed periodically, or whenever a new element is found during a discovery scan. Fig. 7 illustrates an exemplary decision step for determining whether to schedule a discovery scan or an audit scan. A discovery scan is conducted periodically, or when a network is being audited for the first time. If a discovery scan is being conducted in step 710, the active scan engine 120 can follow the exemplary method for scheduling a job illustrated in Fig. 8. If an audit scan is going to be conducted in step 715, the active scan engine 120 locates other hosts with the same scan policy as shown in Fig. 9.

A scan policy comprises a list of vulnerabilities to be checked during a scan. Scanning all the hosts with the same policy at one time allows the active scan engine 120 to coordinate scans efficiently. Once the other hosts with the same policy are located in step 905, a job is scheduled for the audit scan in step 910 in the same way that a job is scheduled for a discovery scan. If more host ranges have been configured for scans, step 915 will return to step 905 and the process will repeat for the next host range. Otherwise, the process is complete.

An exemplary method for scheduling a job is illustrated in Fig. 8. In step 805, a unique job identifier is assigned to the scan job. In step 810, the active scan engine 120 estimates the duration of the scan and checks with the blackout manager, in step 815, for a clear time period of at sufficient duration for scanning. Once a time period is selected for the scan job, in step 820 a start time is scheduled. In step 825, the job is registered with the job manager 122 in the active scan engine 120 so that it can be tracked. In step 830, if the scheduled job is for a discovery scan, the process is complete. Otherwise, in step 835 the last scan job identifier is updated for each host included in the newly scheduled job.

Once a job is scheduled, the scan is ready to run against the appropriate elements in the network 110. An exemplary method for running a scan, as referred to in step 325 of Fig. 3, is illustrated in greater detail in Fig. 10. In step 1005, the active scan engine 120 retrieves the next available job from the job manager. Depending on the type of scan that is to be run, in step 1010, the active scan engine 120 starts the appropriate scan engine. In steps 1015 and 1020, the active scan engine 120 sends a request to the appropriate scan engine to start the job and updates the job status to active. Running the scan collects data about one or more of the various elements in the network and returns that data to the active scan engine 120 for analysis.

Referring to Fig. 11, an exemplary method for analyzing scan results, as referenced in step 330 of Fig. 3 and step 515 of Fig. 5, is illustrated. In step 1105, the analyzer component 123 selects the next scan job to analyze. In step 1110, the analyzer 123 selects the next host to process in the current scan job's data. If this is the first time that the host is examined, then the data are from a discovery scan. The current host's scan configuration record is written or updated in step 1115. Based on the host function and asset value, further scan policies can also be automatically selected by the scan engine for future audit scans against the host. In steps 1120 and 1125, the analyzer 123 processes the vulnerability and service records for the current host.

If the scan was a discovery scan, the analysis process ends at step 1130. However, if the scan was an audit scan, the analysis process continues in step 1135, where a new security score is computed for the host. An advantageous means for calculating a security score is described in U.S. non-provisional patent application entitled "Method and System for Calculating Risk Associated with a Security Audit," filed concurrently herewith, having attorney docket number 05456.105036. An exemplary method for processing a security score is discussed in greater detail with reference to Fig. 19. In step 1140, the host's previous security score is updated. If the user initiated a shutdown of the security audit system 115 at this time, any unanalyzed host information or job information is saved in steps 1150 and 1155. If there are more hosts to be analyzed or more scan jobs to be performed in steps 1165 and 1170, the process will return to the beginning and repeat.

In Fig. 12, an exemplary method for populating a host's scan configuration, as referenced in step 1115 of Fig. 11, is illustrated. In step 1203, the analyzer 123 examines the state data for the current host. These data indicate what operating system and services a host is running, and form the basis for computing the host's asset value in step 1205 and its role in step 1210. In step 1215, the analyzer 123 retrieves the scan policy to be applied to the host based on its asset value and role. Fig. 6B is an exemplary table that maps a host role and asset value to a scan policy. In step 1218, the scan frequency of the host is computed as a function of its asset value. Fig. 6C illustrates an exemplary table for mapping a host's asset value to a scan frequency. Both of the mapping tables illustrated in Figs. 6B and 6C may be adjusted and customized by the user. The analyzer 123 writes or updates the host's scan configuration record in step 1223.

Fig. 13 illustrates an exemplary method for computing a host's asset value, as referenced in step 1205 of Fig. 12. In step 1305, the analyzer 123 retrieves from the ASE database 125 the asset value associated with the host's operating system. Asset values assigned on the basis of operating system reflect the greater importance of servers and routers than regular desktop systems. In step 1310, the analyzer 123 retrieves the asset value associated with the host's running services. Asset values are associated with a number of services in the ASE database 125, and reflect the relative importance of the various services. In step 1310, the analyzer 123 selects the maximum asset value associated with any of the services that are active on the host. In step 1315, the analyzer 123 retrieves the asset value associated with the host's vulnerabilities. As with services, the presence of some vulnerabilities can indicate a greater importance for a host; the asset values associated with vulnerabilities in the ASE database 125 reflect this. In the present example, the maximum asset value associated with any of the host's vulnerabilities is chosen. In step 1320, the analyzer 123 selects the maximum of the previously retrieved asset values as the host's asset value.

Fig. 14 illustrates an exemplary method for computing a host's role, as referenced in step 1210 of Fig. 12. Steps 1405, 1425, and 1445 distinguish between various exemplary host operating systems. The next layer of decisions (steps 1410 and 1430) distinguish between web servers and non-web servers. As shown in the figure, the exemplary host roles identified are NTDesktop (step 1415), NTWebServer (step 1420), UnixWebServer (step 1435), UnixDesktop (step 1440), Router (step 1450), and Unknown (step 1455). While Fig. 14 shows an exemplary implementation of determining a host's role on a network, those skilled in the art will recognize that other host parameters may be taken into account, yielding a greater variety of roles.

Referring to Fig. 15, an exemplary method for processing vulnerability records is illustrated. In step 1505, the analyzer 123 queries the vulnerability history table for the current host. In step 1510, a vulnerability identified during the audit scan is located and the vulnerability history table is examined for the same listing in step 1515. If the vulnerability is listed in the history table, the state table and history table are updated for the particular host in step 1520. As shown in greater detail in the exemplary logic flow diagram in Fig. 16, step 1520 involves the analyzer 123 updating the record in the state table and the record in the history table. If the vulnerability is not found in the history table in step 1515, the analyzer 123 writes a new record to the state table and history table in steps 1530 and 1535. If there are more vulnerabilities to be

examined, the process returns to step 1510. Once the vulnerability records for a host are processed, the logic flow diagram returns to step 1125 for processing service records.

An exemplary method for processing service records, as referred to in step 1125 of Fig. 11, is illustrated in Fig. 17. In step 1705, the analyzer 123 queries the service history table for the current host that is being examined. In step 1710, a service identified during the audit scan is located and the service history table is examined for the same listing in step 1715. If the service is listed in the history table, the analyzer 123 updates the state table and history table for the particular host in step 1720. As shown in greater detail in the exemplary logic flow diagram in Fig. 18, step 1720 involves updating the record in the state table and the record in the history table. If the service is not found in the history table in step 1715, the analyzer 123 writes a new record to the state table and history table in steps 1730 and 1735. If there are more services to be examined, the process returns to step 1710. Once the service records for a host are processed, the logic flow diagram returns to step 1130.

An exemplary method for processing the security score of a host is illustrated in Fig. 19. In step 1905, the active scan engine 120 queries the vulnerability state table for the set of vulnerabilities for the current host. The vulnerabilities were previously detected by the various scans performed on the particular host. The active scan engine 120 selects the next vulnerability in the state table in step 1910 and calculates a risk for the vulnerability in step 1915. An exemplary method for calculating a risk in association with a security audit of a computer network is taught in the related application referenced herein. In step 1920, the vulnerability count for the risk band that includes the calculated risk is incremented. If there are additional vulnerabilities in the state table, the process is repeated and the vulnerability count for the appropriate band is incremented. When there are no remaining active vulnerabilities for this host in the state table, a logarithmic band calculation is applied to the accumulated risks in step 1930. An exemplary method for performing a logarithmic band calculation on accumulated risks is taught in the related application referenced herein.

The security audit system 115 keeps a record of security scores over time. In step 2005 of Fig. 20, the most current host security score is retrieved from the host table. If the most current security score is different from the newly calculated score in step 2010, the active scan engine 120 writes a new record to the host history table in step 2015, and updates the host's current security score in the host table in step 2020. If the security score is not different in step

2010, the process returns to step 1145 in Fig. 11. The forgoing steps illustrate an exemplary method for processing the security score of the host. In alternative embodiments of the invention other methods can be used to compute security scores for various elements in a distributed computing network.

Fig. 21 illustrates an exemplary method for shutting down the active scan engine 120, as referenced in various figures. The shutdown procedure consists of saving any state information necessary to resume any operations in progress at the time of shutdown. This information consists of information about jobs scheduled but not completed, jobs completed but not analyzed, and jobs incompletely analyzed.

In conclusion, the present invention enables and supports security auditing of a distributed computing network. The security audit system can conduct a discovery scan of the network to identify network elements and determine their function, vulnerabilities, and relative importance. Using this information, more comprehensive audit scans are scheduled to regularly assess and monitor the security of the network. The security audit system can automatically select particular audit scans based on the types of hosts identified in the network. The audit scans can be automatically scheduled so as not to interfere with the regular functions of the network. Information collected during the audit scans can also be used to compute a security score for a network element.

It will be appreciated that the present invention fulfills the needs of the prior art described herein and meets the above-stated objects. While there has been shown and described the preferred embodiment of the invention, it will be evident to those skilled in the art that various modifications and changes may be made thereto without departing from the spirit and the scope of the invention as set forth in the appended claims and equivalence thereof. Although the present invention has been described as operating on a local area network, it should be understood that the invention can be applied to other types of distributed computing environments. Furthermore, it should be readily apparent that the components of the security audit system can be located in various local and remote locations of a distributed computing environment.

**CLAIMS**

What is claimed is:

1. A computer-implemented method for configuring and scheduling a security audit of a computer network comprising the steps of:

conducting a discovery scan to identify an element of the computer network and determine the element's functions;

configuring an audit scan to perform on the element, wherein the audit scan is a more thorough scan than the discovery scan;

scheduling a time to perform the audit scan on the element;

running the audit scan of the element at the scheduled time;

calculating a security score for the element based on the audit scan; and

scheduling another time to repeat the audit scan on the element, the scheduling based on the results of the audit scan.

2. The method of Claim 1, further comprising the step of configuring a subsequent audit scan of the element that is different from the audit scan.

3. The method of Claim 1, further comprising the step of receiving a blackout time during which no audit scan can be scheduled.

4. The method of Claim 1, wherein the step of conducting a discovery scan further comprises identifying the function of the element.

5. The method of Claim 1, wherein the step of conducting a discovery scan further comprises identifying vulnerabilities associated with the element.

6. The method of Claim 1, wherein the step of conducting a discovery scan further comprises assigning an asset value for the element, wherein the asset value indicates the relative importance of the element in the network.

7. The method of Claim 6, wherein the asset value is modified based on the audit scan.

8. The method of Claim 1, further comprising the step of receiving a manually selected asset value for the element.

9. The method of Claim 1, wherein the step of configuring an audit scan comprises selecting a type of audit scan based on the discovery scan.

10. The method of Claim 1, wherein the step of configuring an audit scan comprises:  
retrieving an asset value based on the discovery scan;  
retrieving a scan frequency associated with the asset value, wherein the scan frequency indicates how often the scan is performed; and  
assigning a role based on the discovery scan, wherein the role indicates the function of the element; and  
assigning a policy based on the discovery scan, wherein the policy indicates the type of audit scan.

11. The method of Claim 1, wherein the step of configuring an audit scan comprises manually selecting the type of audit scan.

12. A computer-readable medium having computer-executable instructions for performing the steps recited in Claim 1.

13. A computer-implemented method for configuring and scheduling a security audit of a computer network comprising the steps of:

- conducting a discovery scan to identify an element of the computer network;
- configuring an audit scan to perform on the element;
- scheduling a time to perform the audit scan on the element; and
- running the audit scan at the scheduled time on the element.

14. The method of Claim 13, further comprising the step of calculating a security score for the element based on the audit scan.

15. The method of Claim 13, further comprising the step of scheduling another time to perform the audit scan on the element.

16. The method of Claim 13, further comprising the step of receiving a blackout time during which no audit scan can be scheduled.

17. The method of Claim 13, wherein the step of conducting a discovery scan further comprises identifying at least one of the functions or vulnerabilities associated with the element.

18. The method of Claim 13, wherein the step of conducting a discovery scan further comprises assigning an asset value for the element.

19. The method of Claim 13, wherein the step of configuring an audit scan comprises:  
retrieving an asset value based on the discovery scan;  
retrieving a scan frequency associated with the asset value; and  
assigning a role and a policy based on the discovery scan.

20. The method of Claim 13, wherein the step of configuring an audit scan comprises manually selecting the type of audit scan.

21. A computer-readable medium having computer-executable instructions for performing the steps recited in Claim 1.

22. A method for assessing the security of a network comprising the steps of:
  - receiving an initial scan identifying a network element and the function of the network element;
  - selecting an audit scan to perform on the network element, the selection based on the initial scan, wherein the audit scan is more thorough than the initial scan;
  - scheduling the audit scan to perform on the network element;
  - performing the audit scan on the network element at the scheduled time;
  - receiving data from the selected audit scan of the network element; and
  - computing a security score for the network element from the selected audit scan.
23. The method of Claim 22, further comprising modifying the selected audit scan; said modification based on the data received from the selected audit scan.
24. The method of Claim 22, wherein the step of receiving an initial scan comprises:
  - identifying an operating system for the network element;
  - identifying a service for the network element, the service indicating the element's function;
  - determining an asset value of the network element from the operating system and the service of the network element, the asset value indicating the relative importance of the network element; and
  - identifying a vulnerability associated with the network element.
25. The method of Claim 22, wherein the step of selecting an audit scan is based on the initial scan.
26. The method of Claim 22, wherein the step of selecting an audit scan is based on a manual input.
27. The method of Claim 22, wherein the step of scheduling the audit scan comprises checking a blackout schedule.

28. The method of Claim 22, wherein the step of computing a security score comprises summing one or more vulnerabilities associated with the element.

29. A computer-readable medium having computer-executable instructions for performing the steps recited in Claim 22.

30. A method for assessing the security of a network comprising the steps of:  
receiving an initial scan identifying a network element;  
selecting an audit scan to perform on the network element, said selection based on  
the initial scan;  
performing the selected audit scan on the network;  
receiving data from the selected audit scan of the network element; and  
computing a security score for the network element from the selected audit scan.
31. The method of Claim 30, further comprising the step of scheduling the selected  
audit scan, said scheduling based on the initial scan.
32. The method of Claim 30, further comprising modifying the selected audit scan,  
said modification based on the data received from the selected audit scan.
33. The method of Claim 30, wherein the step of receiving an initial scan comprises:  
identifying an operating system and a service for the network element;  
determining an asset value of the network element from the operating system and  
the service of the network element; and  
identifying a vulnerability associated with the network element.
34. The method of Claim 30, wherein the step of selecting an audit scan is based on  
the initial scan.
35. The method of Claim 30, wherein the step of selecting an audit scan is based on a  
manual input.
36. The method of Claim 30, wherein the step of scheduling the audit scan comprises  
checking a blackout schedule.
37. The method of Claim 30, wherein the step of computing a security score  
comprises summing one or more vulnerabilities associated with the element.

38. A computer-readable medium having computer-executable instructions for performing the steps recited in Claim 30.

39. A system for configuring and scheduling a security audit of a computer network comprising:

the computer network;

a security audit system operable for conducting a discovery scan to identify an element of the computer network and configuring and scheduling an audit scan of the element; and

a console operable for receiving information from the security audit system and transmitting information to the security audit system about the discovery scan and the audit scan.

40. The system of Claim 39, wherein the security audit system is further operable for conducting a discovery scan to:

identify a function for the element;

determine an asset value for the element; and

identify a vulnerability for the element.

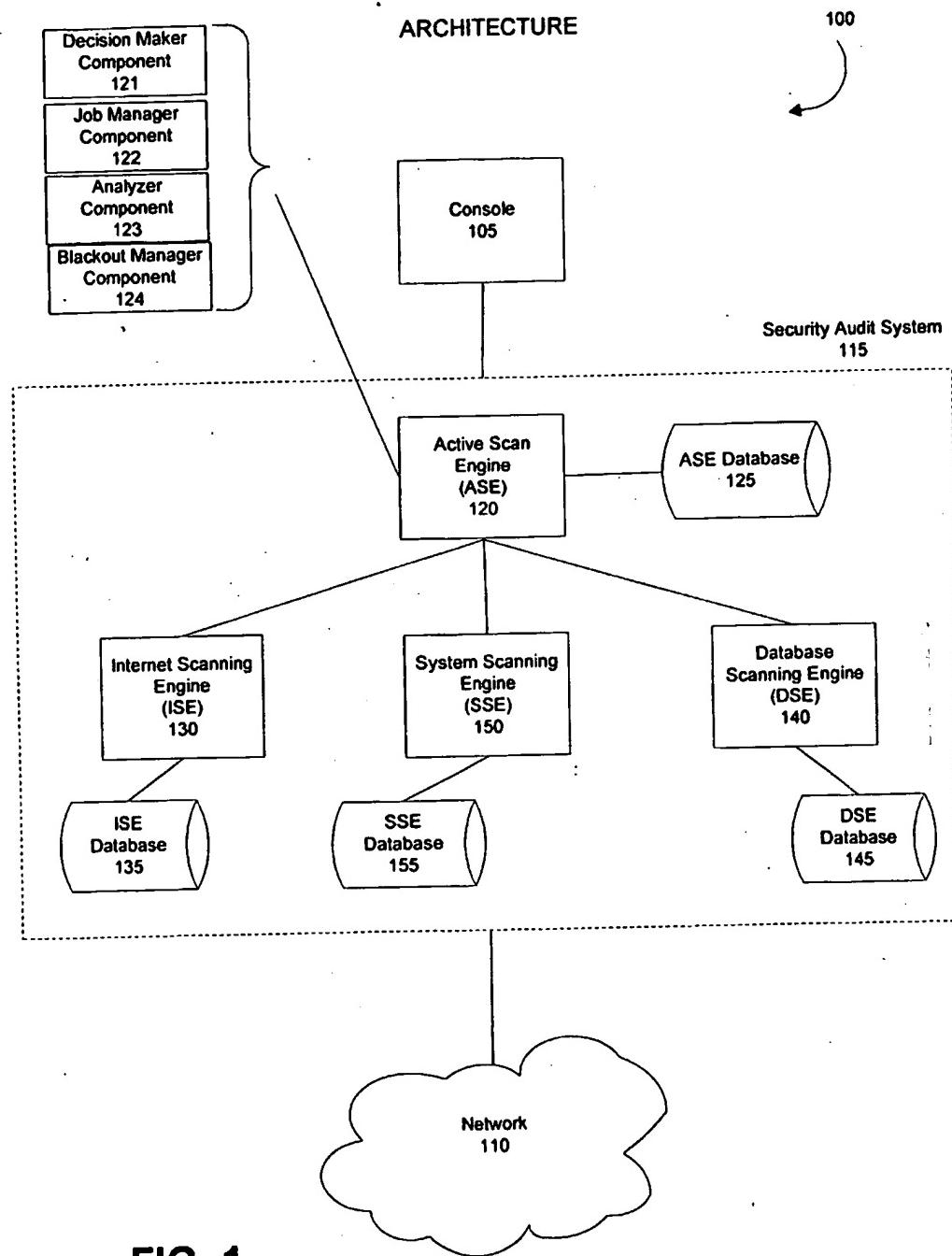
41. The system of Claim 39, wherein the security audit system checks a blackout schedule before scheduling an audit scan.

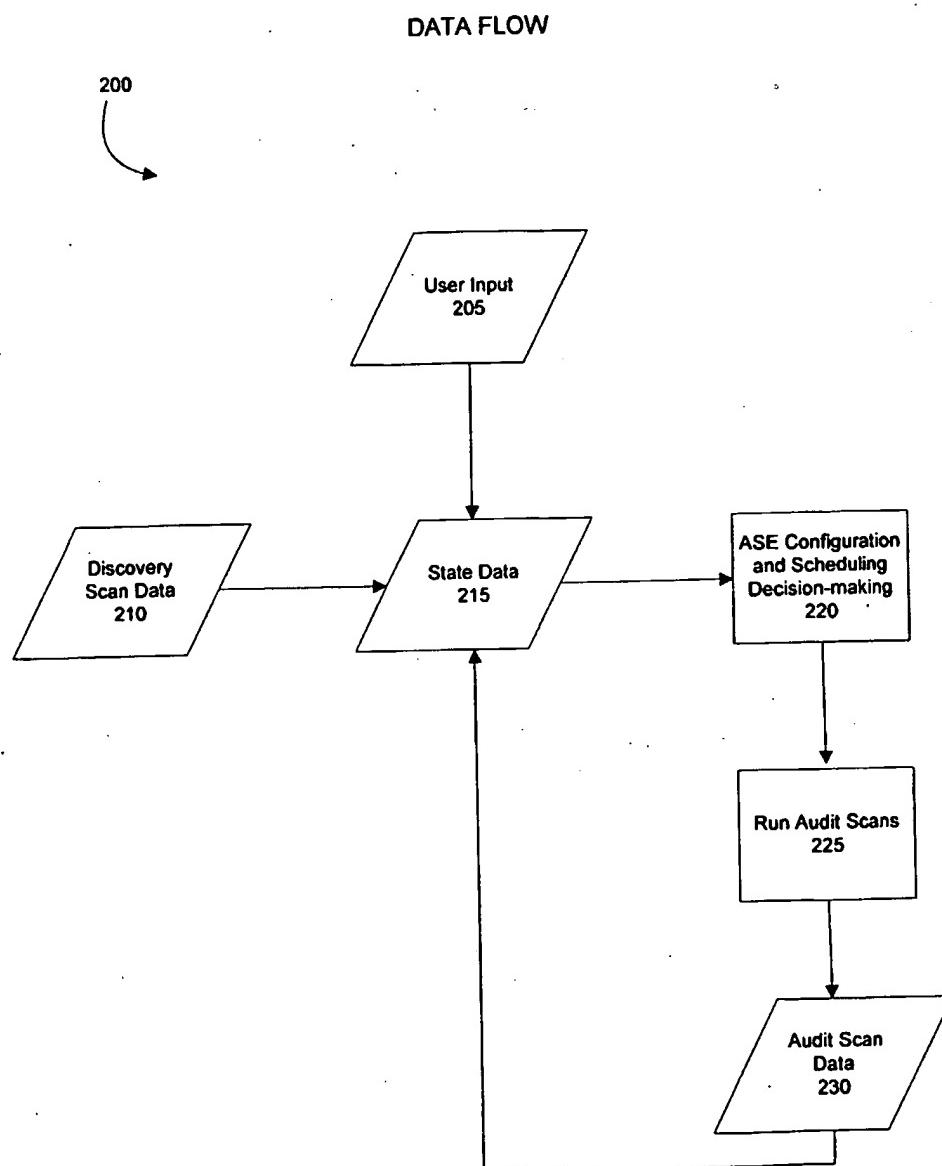
42. The system of Claim 39, wherein the security audit system further comprises a system scanning engine operable for detecting particular vulnerabilities on the network element.

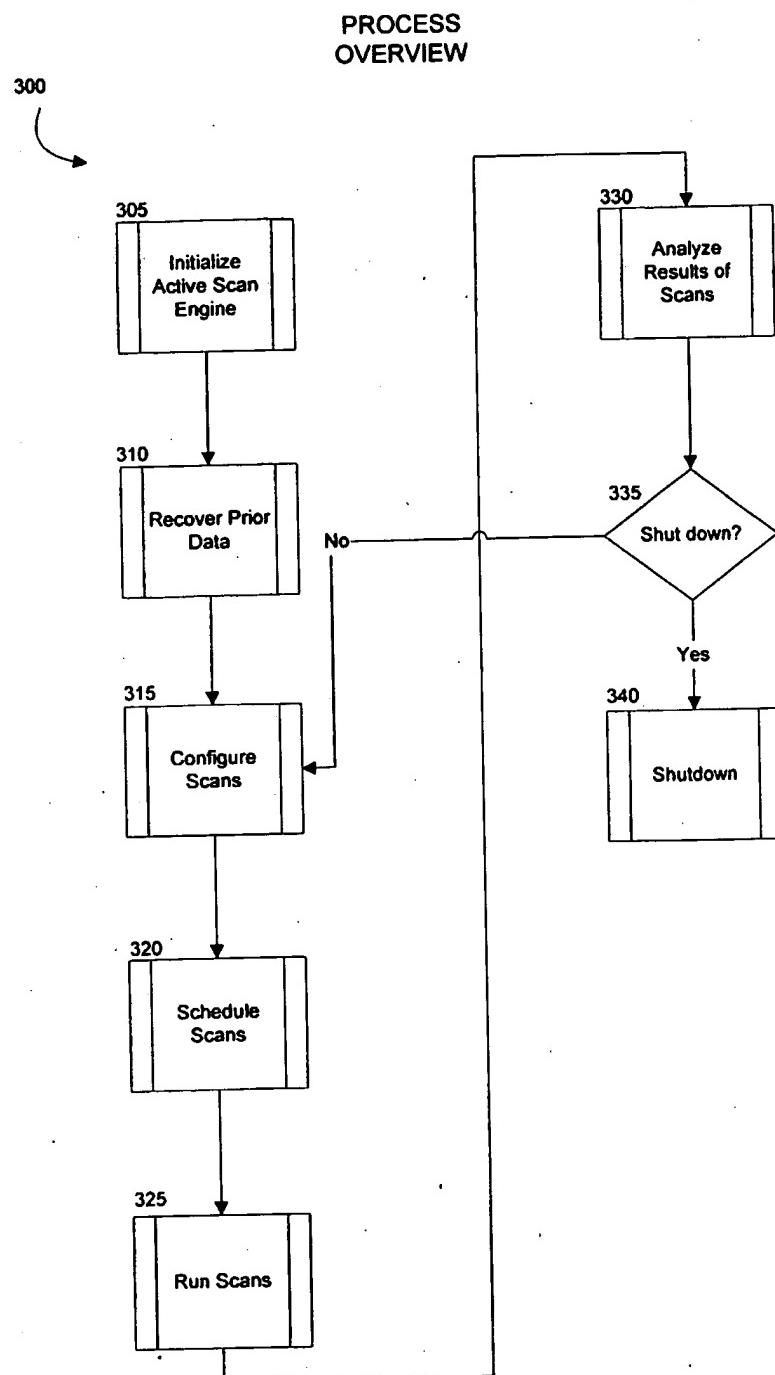
43. The system of Claim 39, wherein the security audit system further comprises an Internet scanning engine operable for performing a discovery scan on the network.

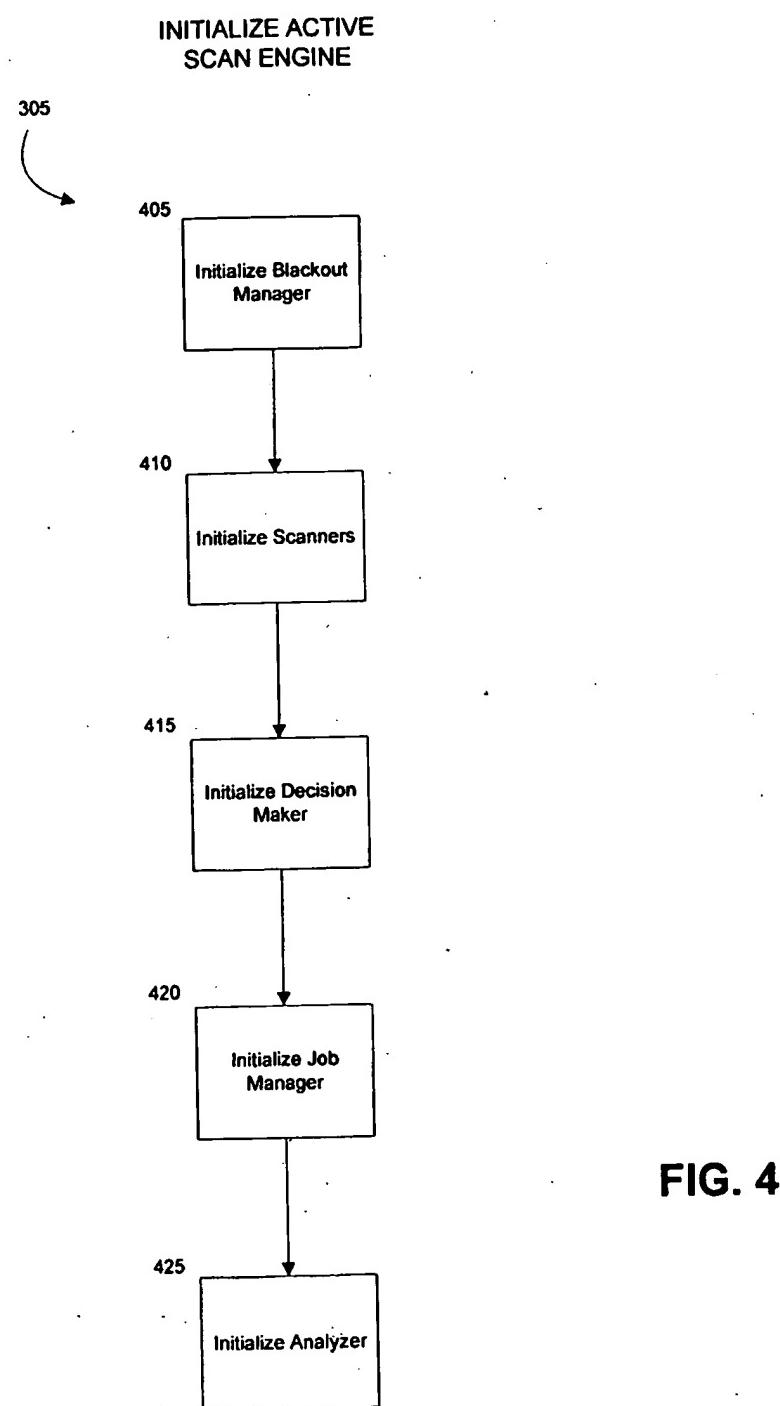
44. The system of Claim 39, wherein the security audit system further comprises a database scanning engine operable for detecting vulnerabilities in database elements within the network.

45. The system of Claim 39, wherein the security audit system further comprises an active scan engine operable for selecting, coordinating, and scheduling various discovery and audit scans to be performed on the computer network.

**FIG. 1**

**FIG. 2**

**FIG. 3**

**FIG. 4**

## RECOVER PRIOR DATA

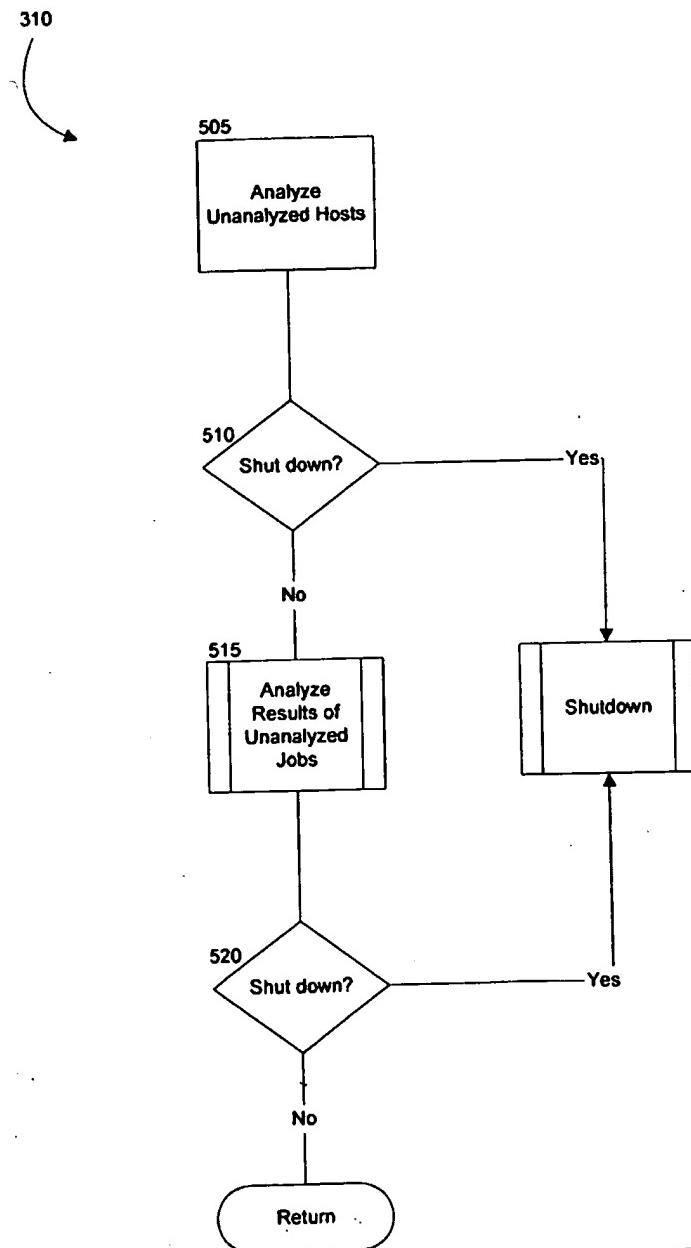
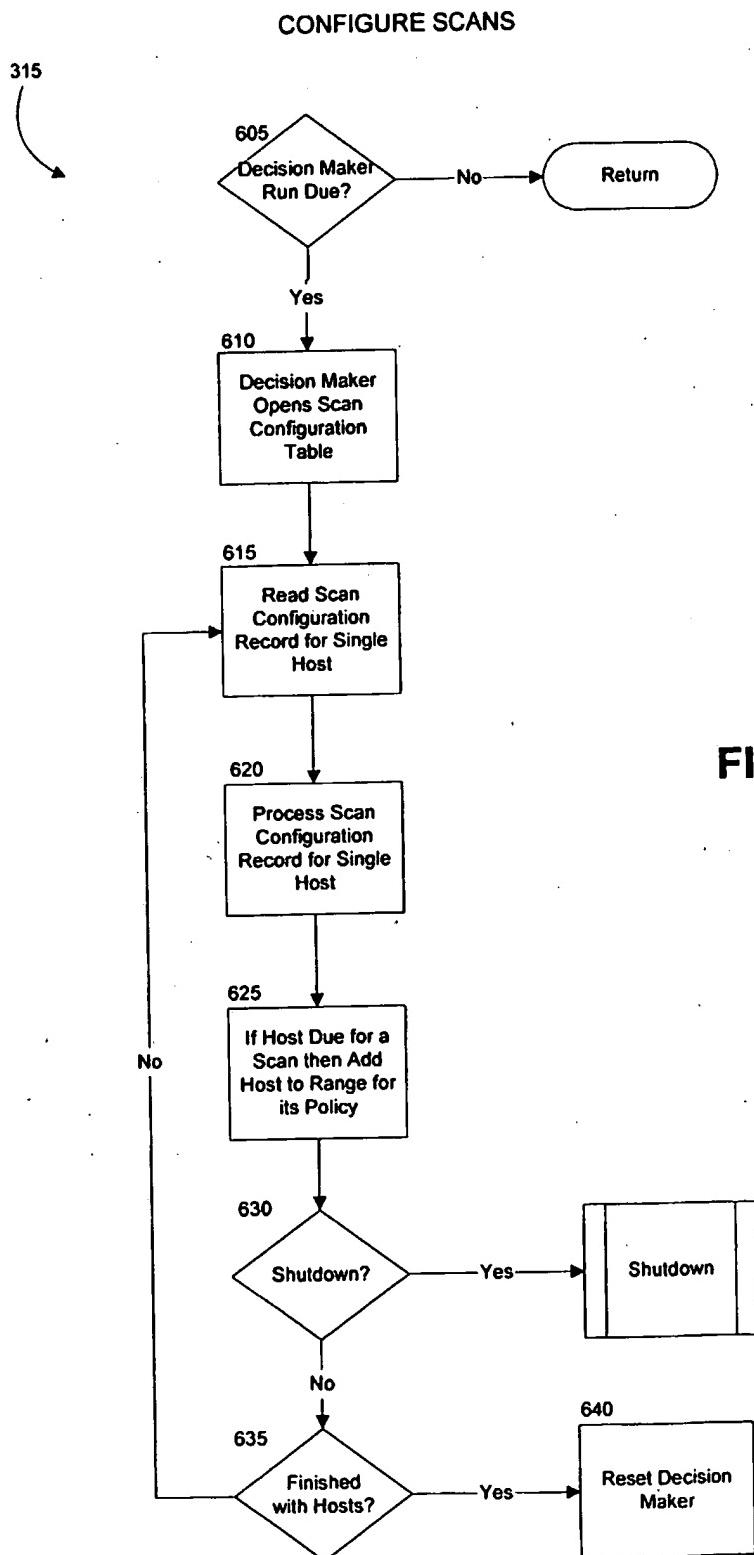


FIG. 5



## CONFIGURE SCANS

Role	Asset Value	Scan Policy
UnixDesktop	3	L3UnixDesktop
UnixServer	4	L4UnixServer
UnixServer	5	L5UnixServer
UnixServer	6	L6UnixServer
NTDesktop	5	L5NTDesktop
NTServer	5	L5NTServer
SQLServer	3	L3SQLServer
SystemScanner	3	L3SystemScanner

Mapping from Host Role + Asset Value to a Scan Policy

FIG. 6B

Asset Value	Frequency
3	every 5 days
4	every 4 days
5	every 3 days
6	every 2 days
7	every day

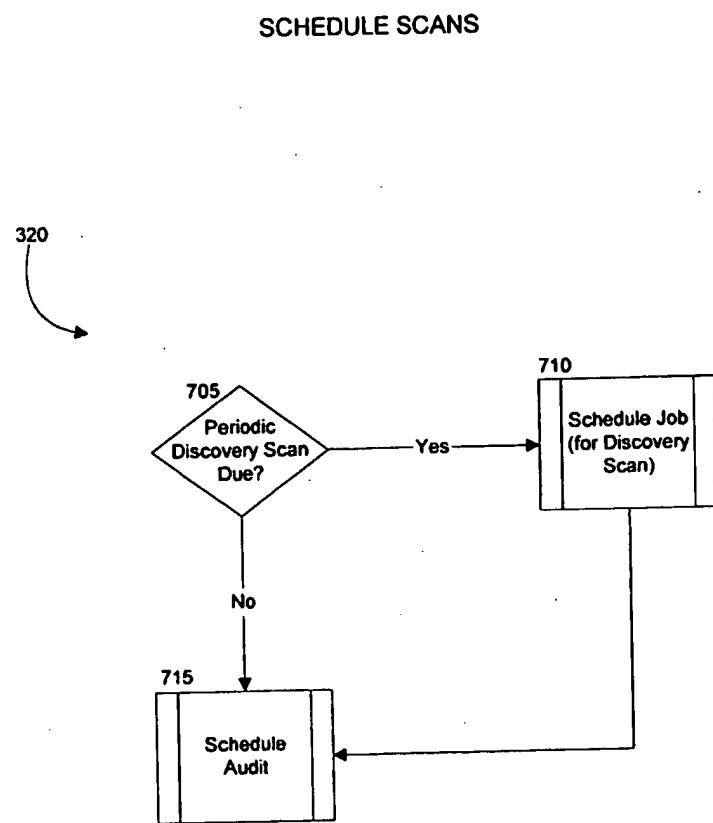
Mapping from Asset Value to Scan Frequency

FIG. 6C

Entity	Host	Policy	Scan Frequency	First Job ID	Last Job ID
Internet Scanner	127.0.0.1	L3UnixWebServer	Every 5 days	1	3
Internet Scanner	135.1.2.3	L5NTWebServer	Every 2 days	2	3
Database Scanner	135.1.2.3	L3SQLServer	Every 5 days	3	4
System Scanner	127.0.0.1	L3Unix	Every 5 days	3	3

Scan Configuration Table

FIG. 6D

**FIG. 7**

## SCHEDULE JOB

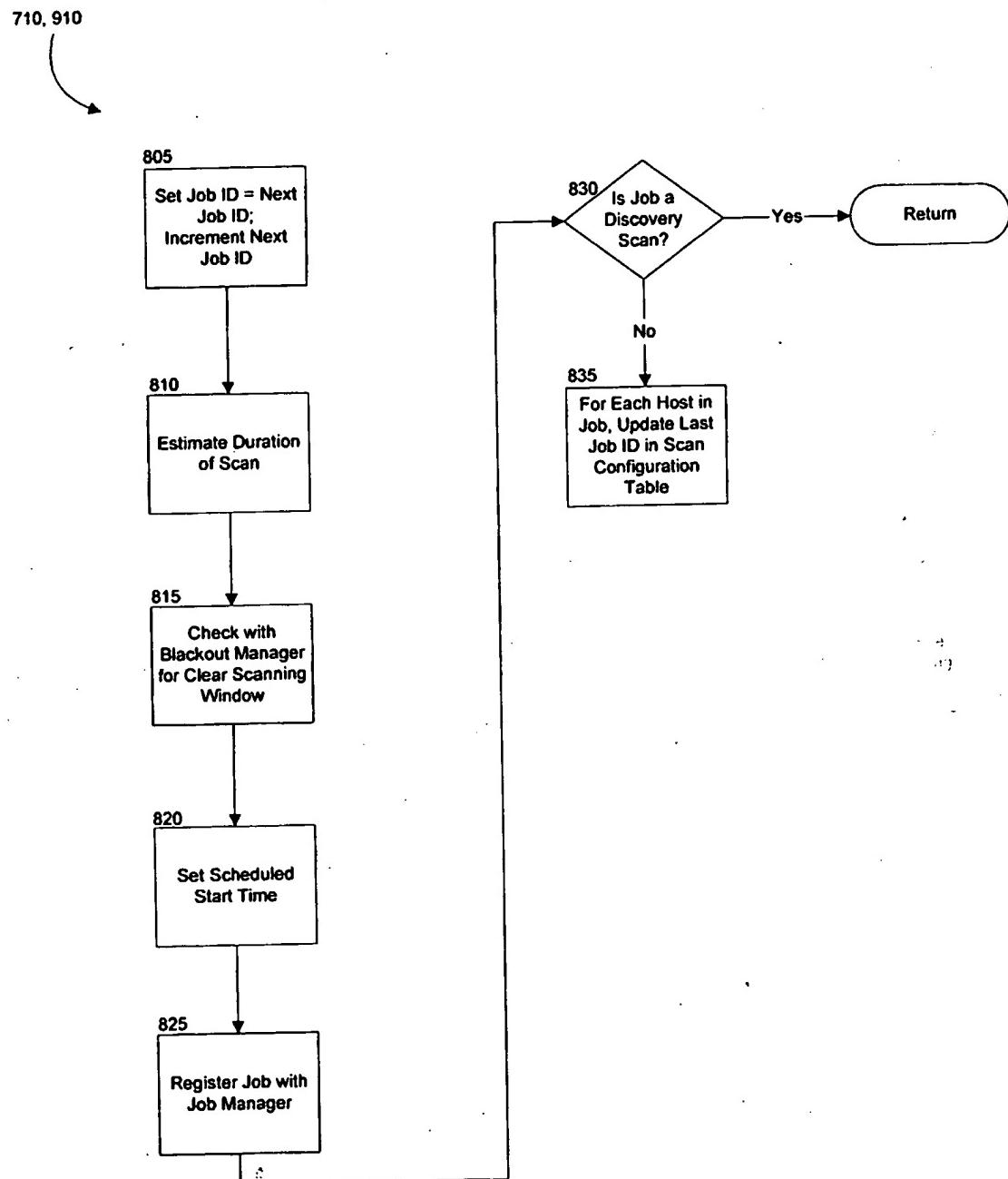
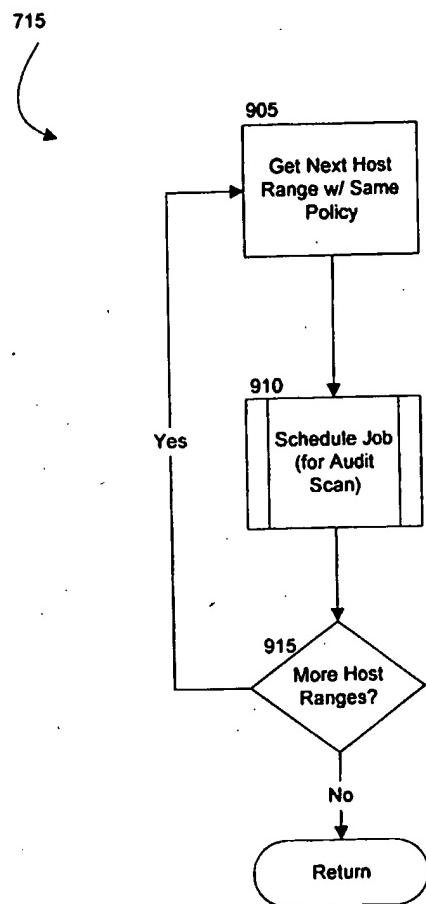
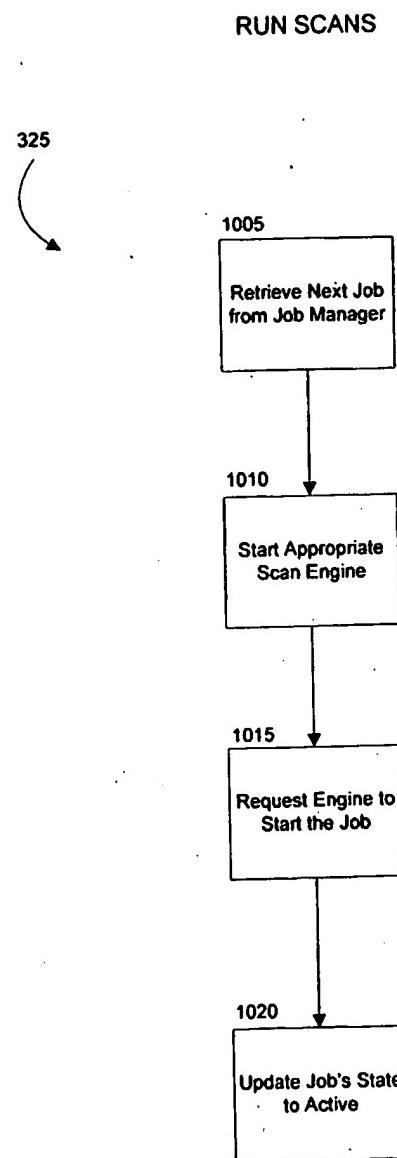
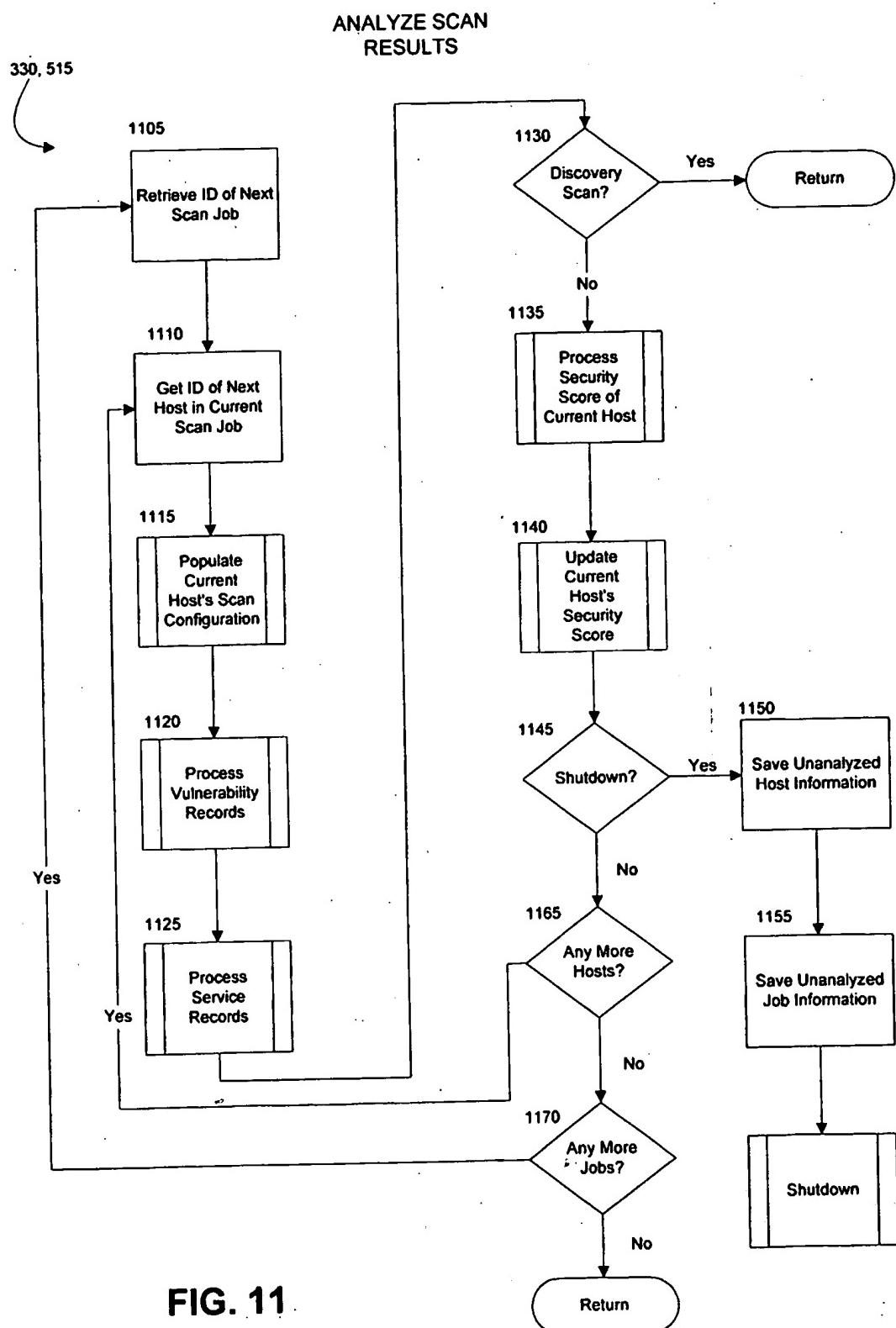


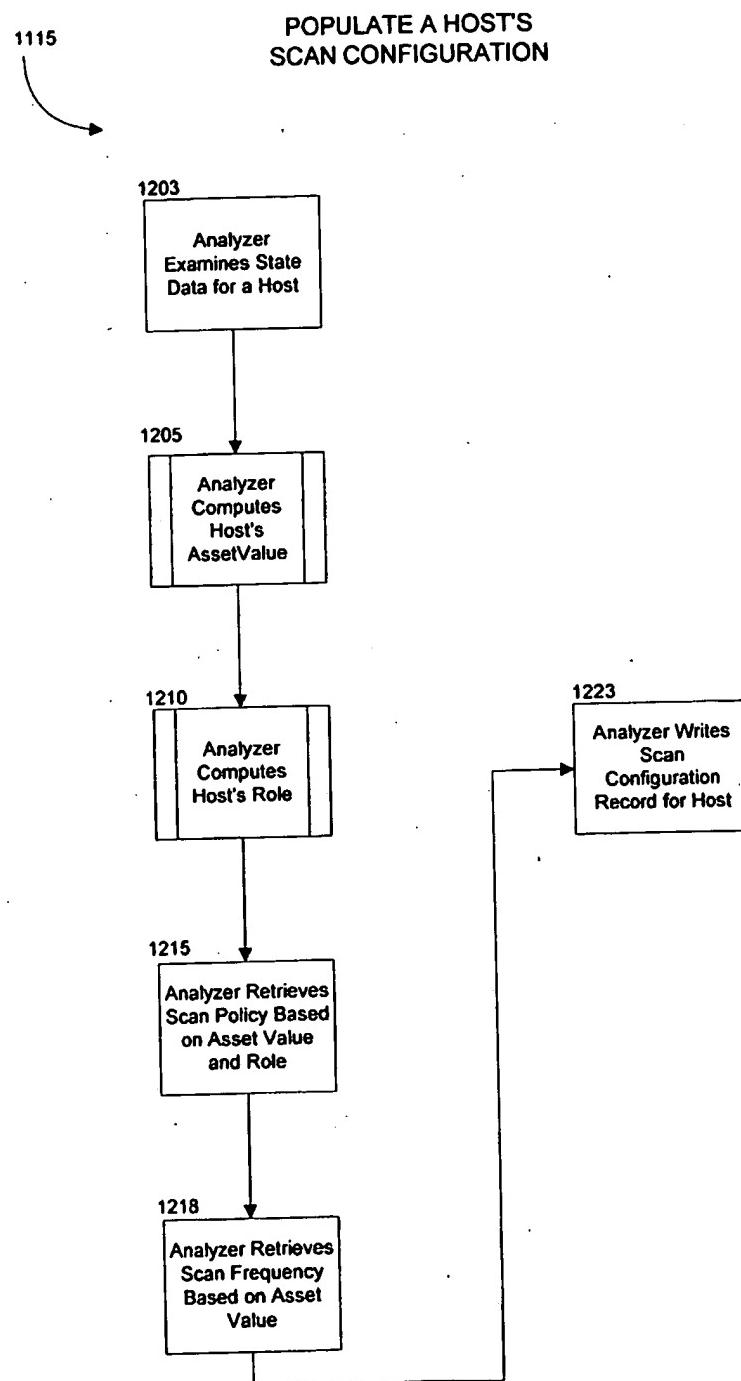
FIG. 8

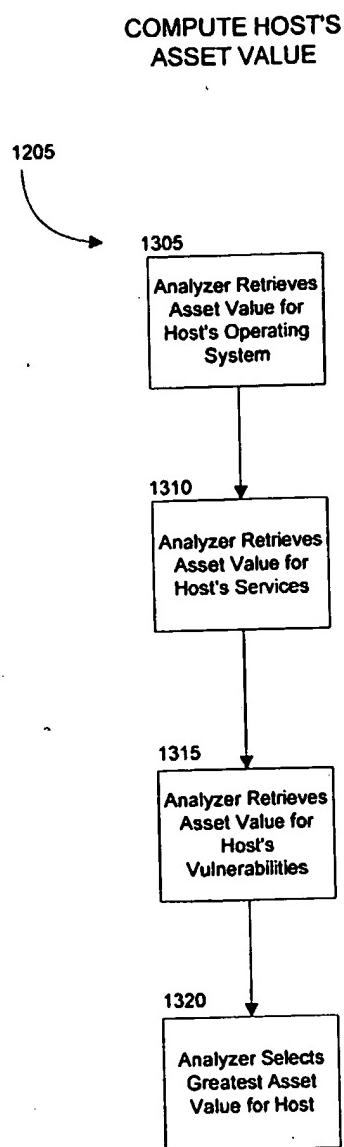
**SCHEDULE AUDIT****FIG. 9**



**FIG. 10**

**FIG. 11**

**FIG. 12**

**FIG. 13**

## COMPUTE HOST'S ROLE

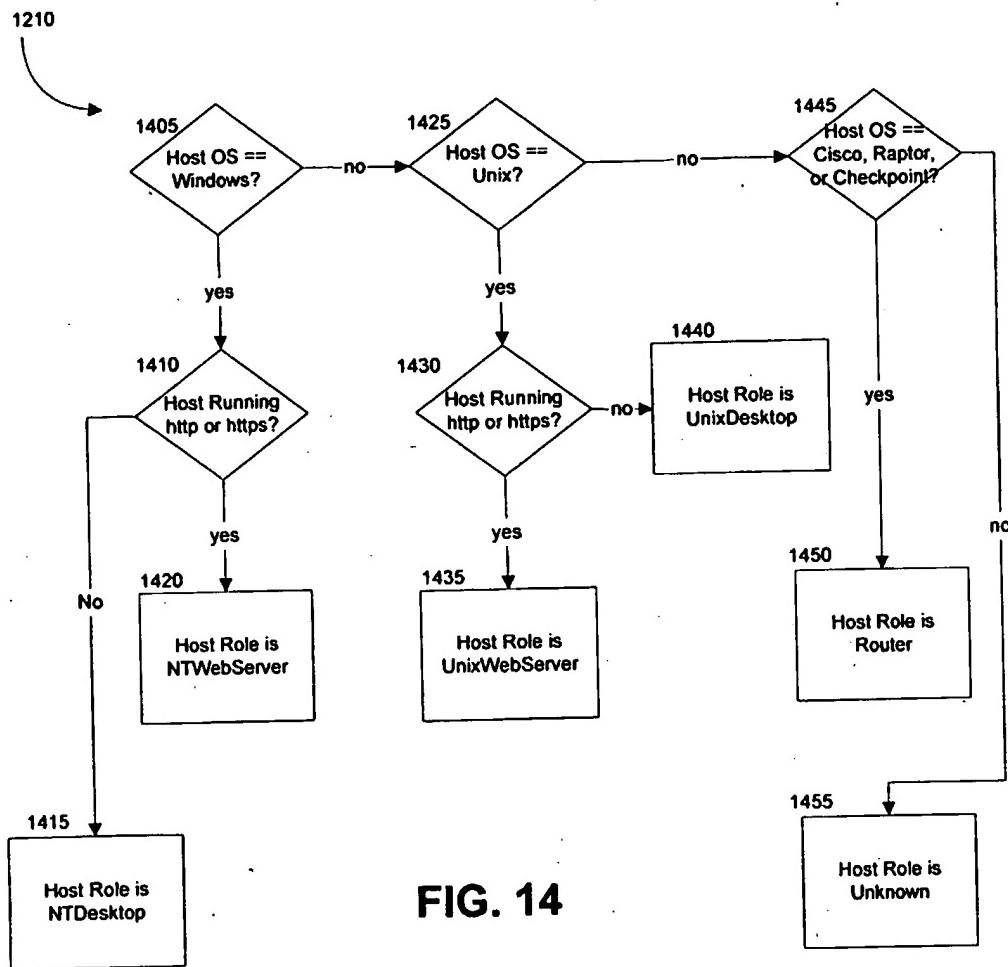
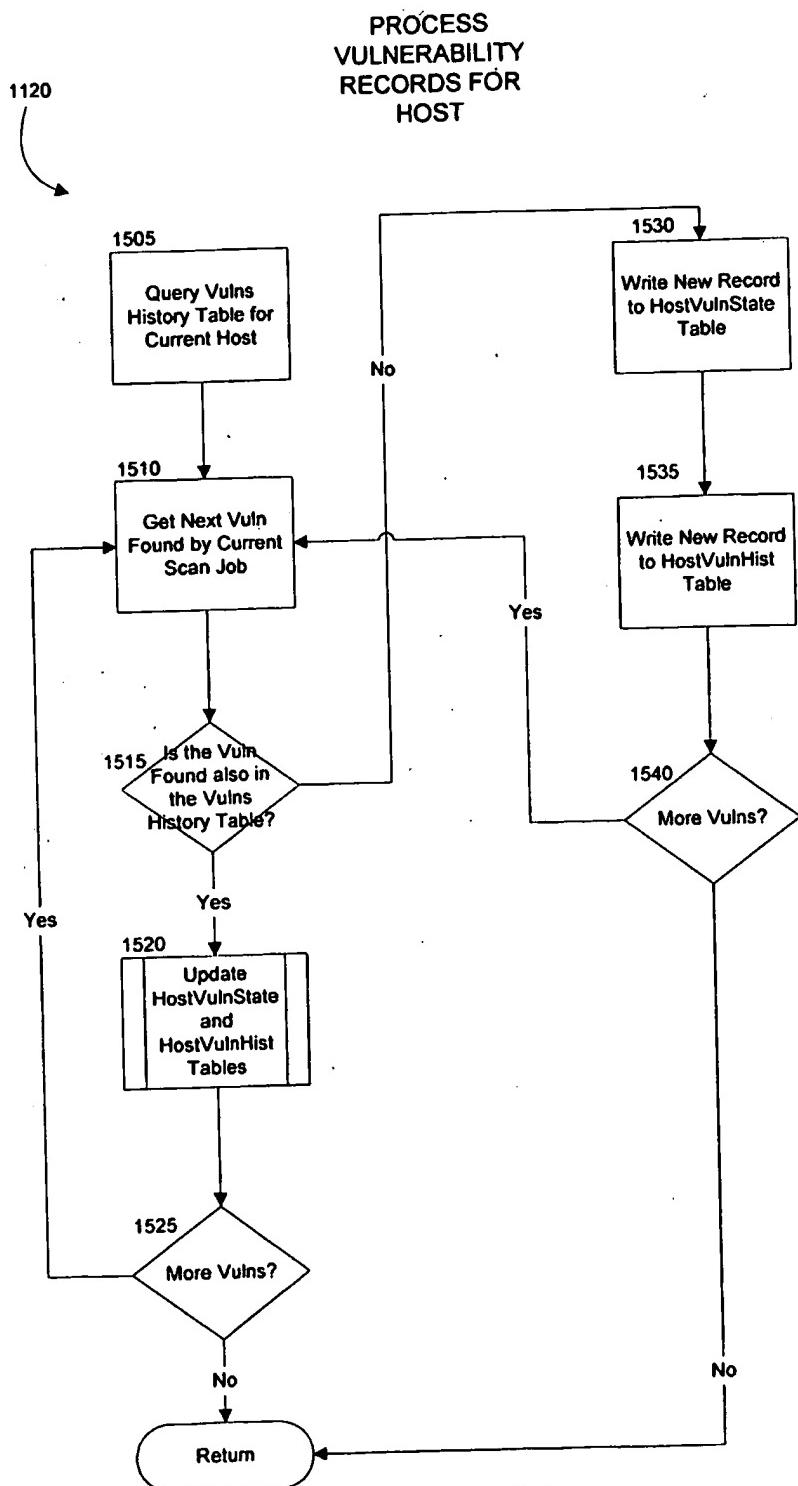
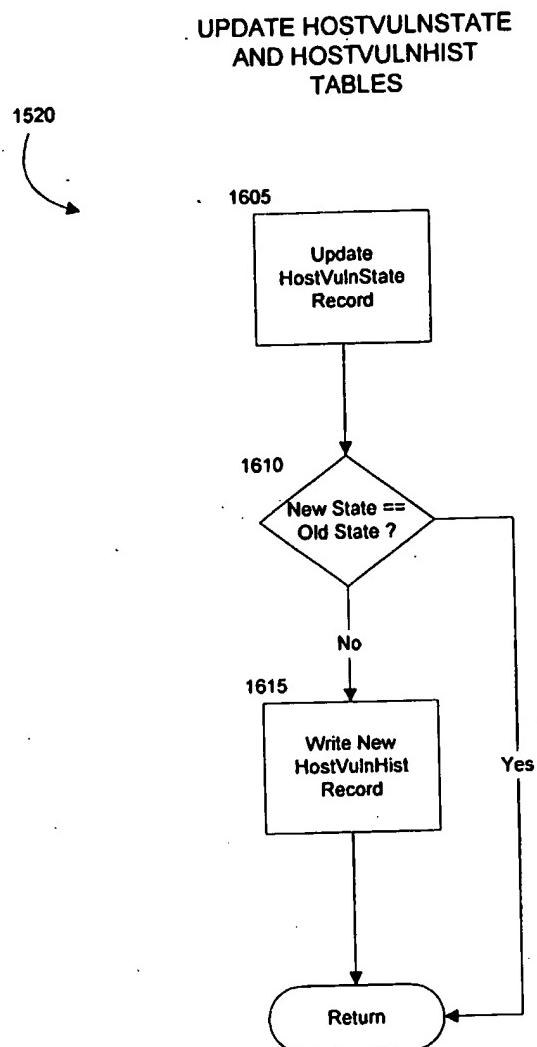
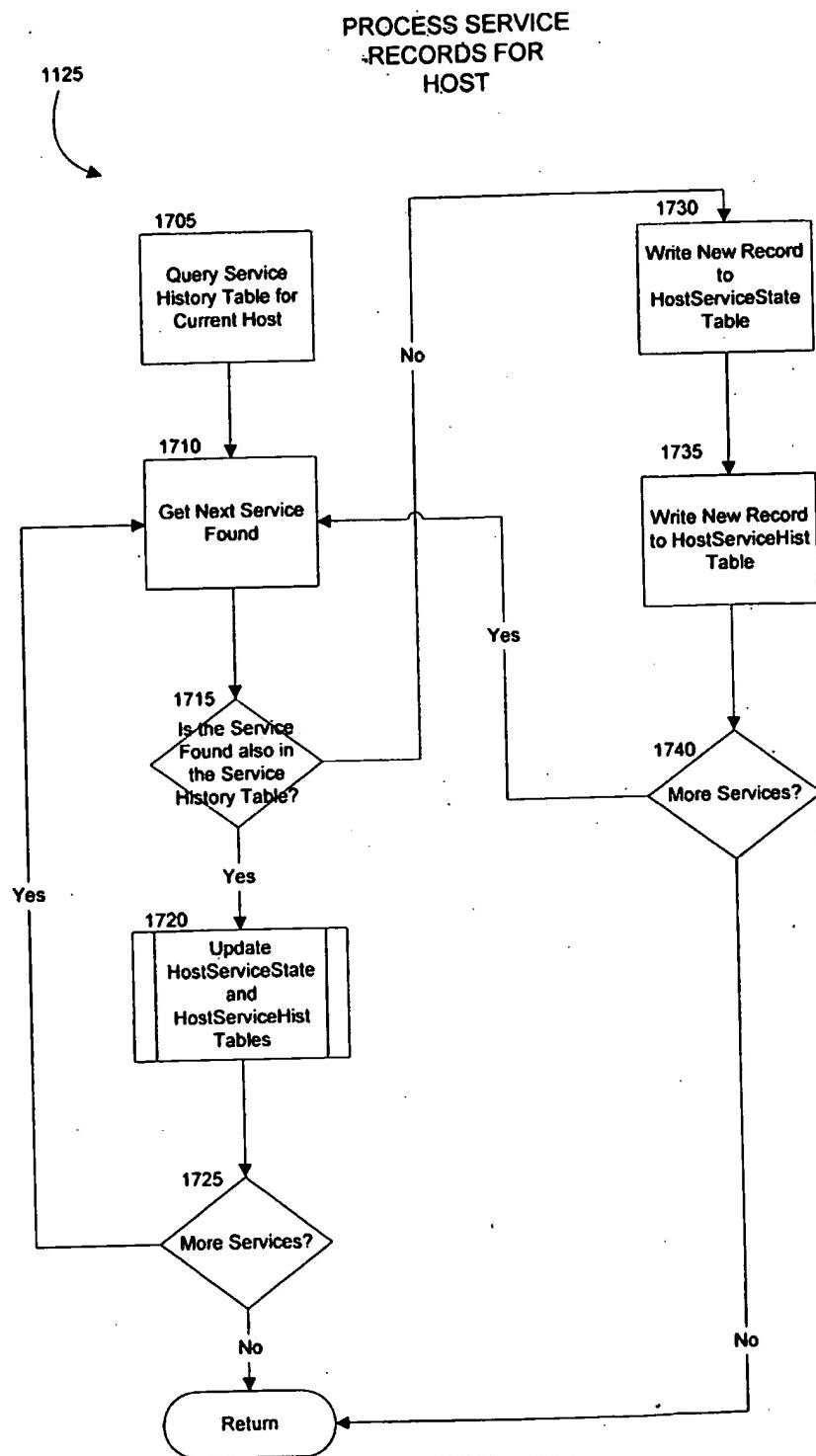
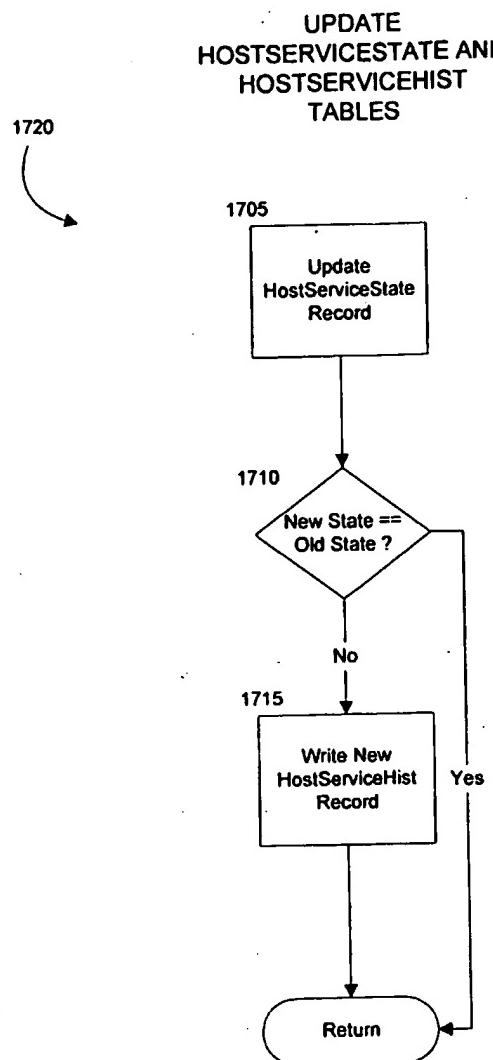


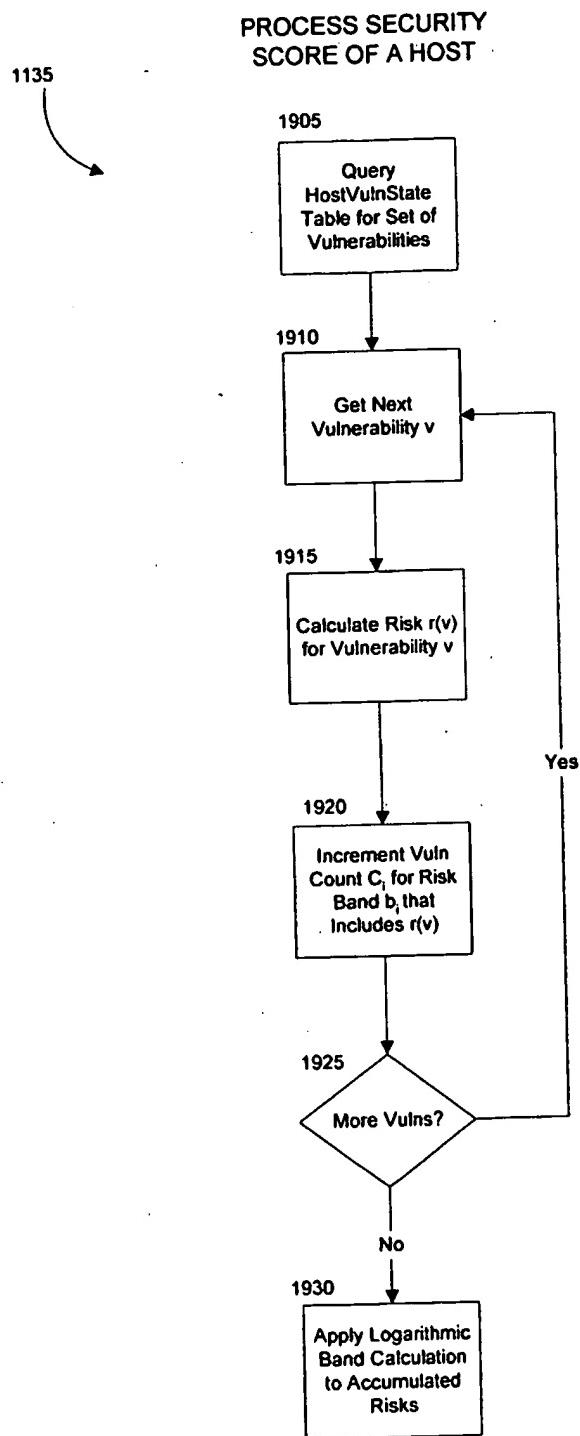
FIG. 14

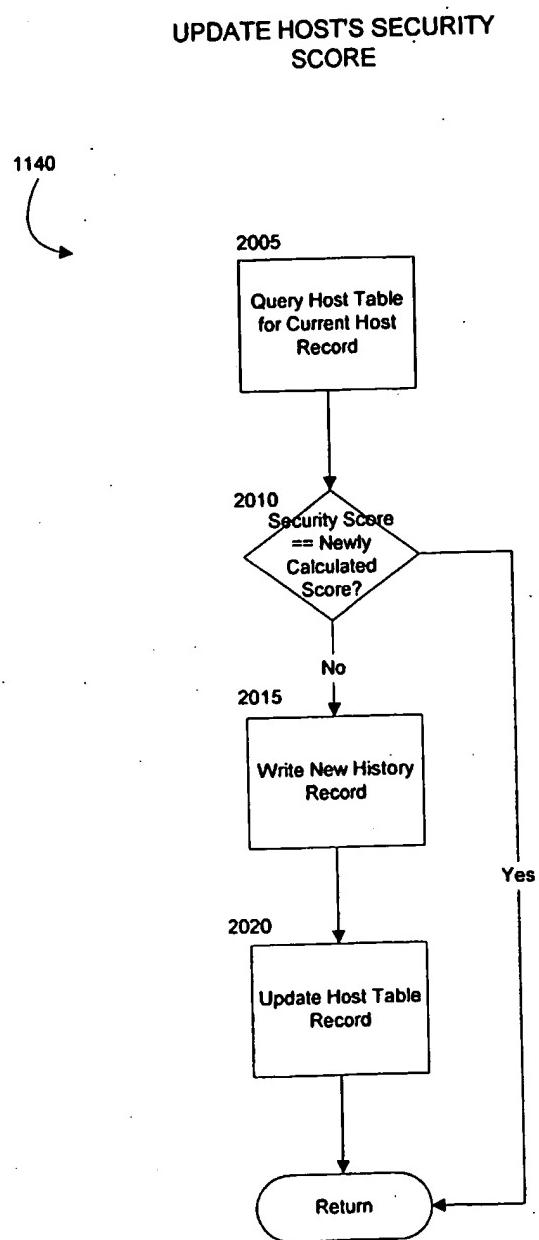
**FIG. 15**

**FIG. 16**

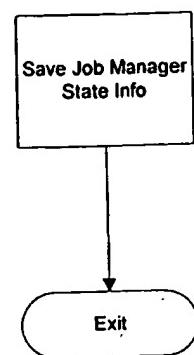
**FIG. 17**

**FIG. 18**

**FIG. 19**

**FIG. 20**

SHUTDOWN



**FIG. 21**